

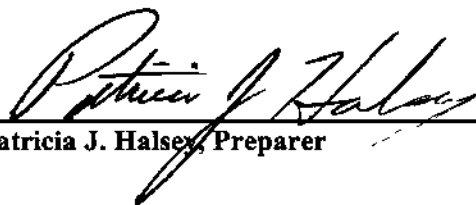


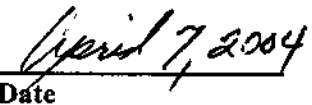
**U. S. Department of Energy
Oak Ridge Office
Environmental Management
Procedure**

ADMINISTRATIVE RECORD PROGRAM


**EM – 4.1
Revision 0**

Prepared:


Patricia J. Halsey, Preparer


Date

Approved:


Stephen H. McCracken,
Assistant Manager for Environmental Management

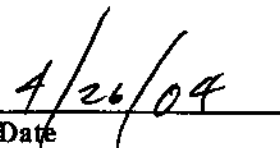

Date

TABLE OF CONTENTS

TABLE OF CONTENTS.....	2
LIST OF ACRONYMS	3
1.0 PURPOSE.....	4
2.0 SCOPE.....	4
3.0 REFERENCES AND DEFINITIONS.....	4
3.1 References.....	4
3.2 Definitions	4
4.0 RESPONSIBILITIES.....	5
4.1 Assistant Manager for Environmental Management (AMEM)	5
4.2 Contracting Officer's Representative or Designee.....	5
4.3 EM Division / Team Leads	5
4.4 EM AR Program Manager	5
5.0 PROCEDURE	6
6.0 RECORDS.....	6
7.0 ATTACHMENTS.....	6
7.1 Attachment I: AR File Criteria by Site.....	7
7.2 Attachment II: AR Content Completeness Checklist	8
7.3 Attachment III: Record of Communication Form	9

LIST OF ACRONYMS

AMEM	Assistant Manager for Environmental Management
AR	Administrative Record
ARCC	Administrative Record Content Completeness
CERCLA	Comprehensive Environmental Response, Compensation, and Liability Act
DOE	U. S. Department of Energy
EM	DOE Office of Environmental Management
NCP	National Contingency Plan
OSWER	Office of Solid Waste and Emergency Response
ORO	Oak Ridge Office
ORR	Oak Ridge Reservation
PD	Post Decision File
RCRA	Resource Conservation & Recovery Act
ROD	Record of Decision

1.0 PURPOSE

To define the role of Department of Energy (DOE) Oak Ridge Office (ORO) Environmental Management (EM) Administrative Record (AR) Program at the Oak Ridge Reservation (ORR).

2.0 SCOPE

DOE-ORO-EM employees and contractors working on Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA) and Resource Conservation and Recovery Act (RCRA) projects.

3.0 REFERENCES AND DEFINITIONS

3.1 References

- 3.1.1 *Comprehensive Environmental Response, Compensation, and Liability Act of 1980*, as amended, Public Law 96-510, 94 Stat. 2767, 42 USC 9601 et seq.
- 3.1.2 *Resource Conservation and Recovery Act (RCRA)*, as amended, 42 USC Section 6901 et seq., 1984.
- 3.1.3 *National Oil and Hazardous Substances Pollution Contingency Plan (NCP)*, 40 CFR part 300, Section 300.815, April 9, 1990.
- 3.1.4 U.S. Environment Protection Agency, Office of Solid Waste and Emergency Response 1990. *Final Guidance on Administrative Records for Selecting CERCLA Response Actions* OSWER Directive 9833.3A-1.
- 3.1.5 U.S. Department of Energy 1992. *Federal Facility Agreement for the Oak Ridge Reservation*, DOE/OR-1014, U.S. Environmental Protection Agency Region IV, U.S. Department of Energy, and Tennessee Department of Environment and Conservation.
- 3.1.6 U.S. Department of Energy 2001. *Public Involvement Plan for CERCLA Activities at the U.S. Department of Energy Oak Ridge Reservation*, DOE/OR/01-1950&D3.

3.2 Definitions

- 3.2.1 Administrative Record (AR): the official body of documents that forms the basis of the selection of a particular response action as required by Section 113 of CERCLA.
- 3.2.2 Administrative Record Content Completeness (ARCC) Meeting: meeting held prior to public commenting period to review the AR File proposed index and evaluate the ARCC checklist (see Attachment 2) for additional documentation inclusion
- 3.2.3 Administrative Record Coordinator: coordinates the compilation of AR Program Files and ensures the protection and proper storage of the AR Program materials.
- 3.2.4 Administrative Record File: the file containing documents collected throughout the decision-making process for a CERCLA response action that, based on established criteria, are expected to constitute the AR upon signature of the decision document.

- 3.2.5 Administrative Record Program: program established to ensure the compilation, protection, and public availability of AR Files, Post Decision Files, and other supporting documentation for CERCLA/RCRA projects.
- 3.2.6 D1 Document: initial document formally transmitted to the regulators for review and/or approval.
- 3.2.7 Document Request System: system developed at ORR to enable members of the public to request documents.
- 3.2.8 DOE Information Center Coordinator: presents AR Program materials, which are available at the off-site location, for public review and ensures that AR Program materials are stored and protected appropriately at the off-site location.
- 3.2.9 Decision Document (Record of Decision - ROD), Action Memorandum: documents the selection of the chosen remedy.
- 3.2.10 Post Decision File (PD File): the file that contains documents created and/or generated after the decision document for a CERCLA/RCRA response action has been signed. This file documents the actual remediation phase of a CERCLA/RCRA project.

4.0 RESPONSIBILITIES

4.1 Assistant Manager for Environmental Management (AMEM)

- Shall ensure that CERCLA and RCRA requirements are met.

4.2 Contracting Officer's Representative or Designee

- Shall ensure that an AR Program is established.

4.3 EM Division/Team Leads

- Shall ensure that AR Program requirements are carried out by the division/team.
- Shall ensure that all personnel are familiar with this procedure.

4.4 EM AR Program Manager

- Shall ensure that appropriate personnel duly execute procedures identified herein.
- Shall represent AR Program preparation resources needed in budget, manpower and scheduling to appropriate management attention.
- Shall ensure that the final AR index is transmitted to the regulators.
- Shall ensure the generation of the PD File.
- Shall provide guidance and ensure effectiveness of contractor's AR Program via the AR Coordinator.
- Shall provide guidance and ensure effective communication between DOE and the public via the DOE Information Center Coordinator.

4.5 EM Program Manager

- Responsibilities defined in Section 5.

5.0 PROCEDURE

The EM Program Manager shall:

- [1] when appropriate, ensure the generation of an abstract or summary of all AR Program material designated as privileged, confidential, or classified;
- [2] attend ARCC meetings;
- [3] transmit the proposed AR index to the regulators with the D1 decision document;
- [4] identify appropriate materials for inclusion in the AR Program file according to established AR File Criteria (see Attachment 1); and
- [5] complete a Record of Communication form (Attachment 3) to include appropriate material in the AR Program file that is not documented elsewhere in the file.

6.0 RECORDS

Records will be stored and protected in accordance to requirements of the *Federal Facility Agreement for the Oak Ridge Reservation*, DOE/OR-1014, Section XXXII.

7.0 ATTACHMENTS

7.1 Attachment 1

AR File Criteria

7.2 Attachment 2

AR Content Completeness Checklist

7.3 Attachment 3

Record of Communication Form

ATTACHMENT 1

ADMINISTRATIVE RECORD FILE CRITERIA

Page 1 of 1

Oak Ridge Reservation

Document Type	Inclusion Code *	Comments
FFA Primary Documents	1	Released to Regulators (D1+)
FFA Secondary Documents	1	Released to Regulators (D1+)
DOE Signature Correspondence	1	
EPA Signature Correspondence	1	
TDEC Signature Correspondence	1	
Federal Facility Agreement	1	DOE/OR-1014
Public Involvement Plan for the ORR	1	DOE/OR/01-XXXX
Public Information Fact Sheets	1	Site Specific
Public Notices/Newspaper Announcements	1	Site Specific
Transcript from Proposed Plan Public Meeting	1	
Public Comments/DOE Response to Comments	1	Site Specific
Data Summary Sheets	2	
Verified Sampling and Analysis Data	2	Pointer/Referenced
Chain-of-Custody Forms	2	Pointer/Referenced
Site-Specific Background Documents	2	If Applicable
Approved/Signed DOE/Regulator Meeting Notes	3	If Applicable
DOE/Regulator Telephone Conversations/E-Mail/Facsimiles	3	If Applicable

***INCLUSION CODE KEY**

1-Automatic inclusion by AR staff

2-Inclusion after identification by site program staff

3-Inclusion by exception only-must be identified by DOE program staff

ATTACHMENT 2

Administrative Record (AR) File Completeness Checklist

AR Coordinator

- | | | | |
|----|---|------------------------------|-----------------------------|
| 1. | Have all FFA Primary Documents been included in the AR file? | yes <input type="checkbox"/> | no <input type="checkbox"/> |
| 2. | Have all FFA Secondary Documents been included in the AR file? | yes <input type="checkbox"/> | no <input type="checkbox"/> |
| 3. | Has all applicable DOE/EPA/State signature correspondence been included in the AR file? | yes <input type="checkbox"/> | no <input type="checkbox"/> |
| 4. | Have the FFA and the current Public Involvement Plan been identified in the AR file? | yes <input type="checkbox"/> | no <input type="checkbox"/> |
| 5. | Have all Public Information Project Fact Sheets been included in the AR file? | yes <input type="checkbox"/> | no <input type="checkbox"/> |
| 6. | Have all applicable public notices included in the AR file? | yes <input type="checkbox"/> | no <input type="checkbox"/> |
| 7. | Have all public comments and responses been included in the AR file? | yes <input type="checkbox"/> | no <input type="checkbox"/> |
| 8. | Have all applicable public meeting transcripts been included in the AR file? | yes <input type="checkbox"/> | no <input type="checkbox"/> |

Bechtel Jacobs Company Project Representative

- | | | | |
|----|--|------------------------------|-----------------------------|
| 1. | Have all data summary sheets been appropriately included in the AR file? | | |
| | yes <input type="checkbox"/> no <input type="checkbox"/> | | |
| 2. | Have hard copy sampling and analysis data (to include COC forms and field data logbooks) been identified in the AR file? | yes <input type="checkbox"/> | no <input type="checkbox"/> |
| 3. | Have all applicable site-specific background documents been included in the AR file? | yes <input type="checkbox"/> | no <input type="checkbox"/> |

DOE Project Manager

- | | | | |
|----|--|------------------------------|-----------------------------|
| 1. | Does the AR file contain all documentation that forms the basis for making the remediation decision up to the decision document? | yes <input type="checkbox"/> | no <input type="checkbox"/> |
|----|--|------------------------------|-----------------------------|

Does any additional documentation need to be included in the AR file?

- | | | | |
|----|--|------------------------------|-----------------------------|
| 2. | Regulator and/or DOE meeting minutes that impact the decision making process. | yes <input type="checkbox"/> | no <input type="checkbox"/> |
| 3. | Regulator and/or DOE telephone conversations (documented) that impact the decision making process. | yes <input type="checkbox"/> | no <input type="checkbox"/> |
| 4. | Any email or other correspondence that impacted the decision making process. | yes <input type="checkbox"/> | no <input type="checkbox"/> |

ATTACHMENT 3

RECORD OF COMMUNICATION FOR INCLUSION IN THE ADMINISTRATIVE RECORD

Type of Communication:

☐ E-mail ☐ Telephone Conversation ☐ Facsimile ☐ Meeting ☐ Other

Administrative Record Project: _____

Date of Communication: _____

Communication Between:

Subject:

Prepared by: _____

Date Prepared: _____

Documentation Attached:

☐ E-mail(s) ☐ Conversation Notes ☐ Facsimile(s) ☐ Meeting Notes ☐ Other ☐ None

Provide to:

Oak Ridge

BJC Administrative Record Coordinator
Bldg. K-1007; MS 7052
Oak Ridge, TN 37831-7279
Phone: (865) 241-3764
Facsimile: (865) 241-6206